

03-18-02

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. 42390P14231

First Inventor Knut S. Grimsrud, et al.

Title DEVICE/HOST COORDINATED PREFETCHING STORAGE SYSTEM

Express Mail Label No. EL414996706US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 17]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 5]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all of the following are necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: CHECK FOR \$1,808.00

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: _____

Prior application Information: Examiner _____

Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label



08791

or ☐ Correspondence address below

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Zip Code

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(503) 684-6200

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Name (Print/Type)

Paul A. Mendonça

Registration No. (Attorney/Agent)

42,879

Signature

Paul A. Mendonça

Date

03/14/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 1,808.00

Complete if Known

Application Number	
Filing Date	March 14, 2002
First Named Inventor	Knut S. Grimsrud
Examiner Name	
Group/Art Unit	
Attorney Docket No.	42390P14231

METHOD OF PAYMENT (check one)

- ☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

- ☐ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of the application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
	101	740	201	370	Utility filing fee		740.00
	106	330	206	165	Design filing fee		
	107	510	207	255	Plant filing fee		
	108	740	208	370	Reissue filing fee		
	109	160	214	80	Provisional filing fee		
SUBTOTAL (1)							740.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
56	20*	36	18.00
8	3*	5	84.00
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 1,068.00

*or number previously paid, if greater. For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
	105	130	205	65	Surcharge - late filing fee or oath		
	127	50	227	25	Surcharge - late provisional filing fee or cover sheet		
	139	130	139	130	Non-English specification		
	147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		
	112	920*	112	920*	Requesting publication of SIR prior to Examiner action		
	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		
	115	110	215	55	Extension for reply within first month		
	116	400	216	200	Extension for reply within second month		
	117	920	217	460	Extension for reply within third month		
	118	1,440	218	720	Extension for reply within fourth month		
	128	1,960	228	980	Extension for reply within fifth month		
	119	320	219	160	Notice of Appeal		
	120	320	220	160	Filing a brief in support of an appeal		
	121	280	221	140	Request for oral hearing		
	138	1,510	138	1,510	Petition to institute a public use proceeding		
	140	110	240	55	Petition to revive - unavoidable		
	141	1,280	241	640	Petition to revive - unintentional		
	142	1,280	242	640	Utility issue fee (or reissue)		
	143	460	243	230	Design issue fee		
	144	620	244	310	Plant issue fee		
	122	130	122	130	Petitions to the Commissioner		
	123	50	123	50	Processing fee under 37 CFR 1.17(q)		
	126	180	126	180	Submission of Information Disclosure Stmt		
	581	40	581	40	Recording each patent assignment per property (times number of properties)		
	146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))		
	149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))		
	179	740	279	370	Request for Continued Examination (RCE)		
	169	900	169	900	Request for expedited examination of a design application		

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 1,808.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Paul A. Mendonsa	Registration No. (Attorney/Agent)	42,879	Telephone	(503) 684-6200
Signature		Date	03/14/02		

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